

PATENT APPLICATION  
Application No. 10/686,462  
Paper Dated September 15, 2004  
Attorney Docket No. 124256.00401



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor Application of : Steven Kirk Donoho et al.  
Filed : October 15, 2003  
Application No. : 10/686,462  
Title : Method and System for the Protection of Broker and Investor Relationships, Accounts and Transactions  
Group Art Unit : 3621  
Examiner : Not Yet Assigned

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Sir:

Applicants are in receipt of the Filing Receipt dated January 16, 2004 for the above-identified application. The Filing Receipt states that the priority date for the application is May 12, 2003. Applicants know that the original filing date afforded for the priority application was May 12, 2003. However, the actual priority application was filed on March 7, 2003. Applicants thus filed a Petition to Correct Filing Date of Provisional Application with the United States Patent and Trademark Office which was subsequently granted. A copy of the Petition and of the grant are enclosed, showing the filing date of March 7, 2003. Applicants respectfully request correction of the Filing Receipt to reflect this date as follows.

**Domestic Priority Data as Claimed by Applicant**

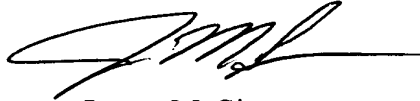
**This application claims the benefit of U.S. Provisional Patent Application No. 60/453,112 filed March 7, 2003.**

PATENT APPLICATION  
Application No. 10/686,462  
Paper Dated September 15, 2004  
Attorney Docket No. 124256.00401

A copy of the marked-up original Filing Receipt is also enclosed, showing the changes as requested.

Respectfully submitted,

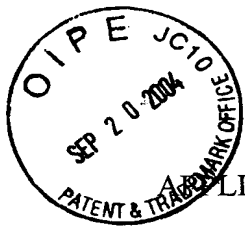
PEPPER HAMILTON LLP

A handwritten signature in black ink, appearing to read 'JMS', with a long horizontal flourish extending to the right.

James M. Singer  
Registration No. 45,111

Pepper Hamilton LLP  
500 Grant Street  
One Mellon Center, 50<sup>th</sup> Floor  
Pittsburgh, PA 15219  
Telephone: (412) 454-5023  
Facsimile: (412) 281-0717

Date: September 15, 2004



*12W*

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10**

**APPLICANTS:** Steven Kirk Donoho et al.

**TITLE:** Method and System for the Protection of Broker and Investor Relationships, Accounts and Transactions

**SERIAL NO.:** 10/686,462

**ATTORNEY REF:** 124256.00401

**DATE OF DEPOSIT:** SEPTEMBER 16, 2004

I HEREBY CERTIFY THAT THIS REQUEST FOR CORRECTION OF FILING RECEIPT DOCUMENT IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE VIA UNITED STATES POST OFFICE EXPRESS MAIL UNDER 37 C.F.R. § 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO U.S. PATENT AND TRADEMARK OFFICE, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450.

Maria N. Dupain

(Typed or printed name of person mailing paper or fee)

*Maria N. Dupain*

(Signature of person mailing paper or fee)

**Documents Sent:**

Request for Correction of Filing Receipt  
Marked-Up Version of Filing Receipt Showing Changes as Requested  
Copy of Petition Grant

**DOCKETED****JAN 20 2004****UNITED STATES PATENT AND TRADEMARK OFFICE**

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 100  
 Alexandria, Virginia 22304-0100  
 www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/686,462	10/15/2003	3621	1148	124256.0401	38	41	3

Pepper Hamilton LLP  
 One Mellon Center  
 50th Floor  
 500 Grant Street  
 Pittsburgh, PA 15219

**CONFIRMATION NO. 7085****FILING RECEIPT**

\*OC000000011712053\*

Date Mailed: 01/16/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

**Applicant(s)**

Steven Kirk Donoho, Chantilly, VA;  
 Patrick Kiplinger Hyde, Falls Church, VA;  
 Nimish Sheth, Falls Church, VA;  
 Anil Sessa Kumar Venuturupalli, Fairfax, VA;

**Domestic Priority data as claimed by applicant**

03/07/2003

This appln claims benefit of 60/453,112 05/12/2003 \*

(\*)Data provided by applicant is not consistent with PTO records.

**Foreign Applications**

If Required, Foreign Filing License Granted: 01/15/2004

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

Method and system for the protection of broker and investor relationships, accounts and transactions

**Preliminary Class**

705

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).